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**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS (37 CFR 1.9(f) AND 1.27 (c)) - SMALL BUSINESS CONCERN**

Docket No.
16041-1025

Serial No.

Filing Date

Patent No.

Issu Date

Applicant/ **John Mark Singleton, et al.**

Patentee:

Invention: **DIVERTER FOR DUAL TRACK AIR ASSISTED COLLATOR**

I hereby declare that I am:

- ☒ the owner of the small business concern identified below:
☐ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN: **Dallas A.C. Horn & Co. d/b/a A.C. Horn & Co.**ADDRESS OF CONCERN: **1269 Majesty, Dallas, Texas 75247**

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the above identified invention described in:

- ☒ the specification filed herewith with title as listed above.
☐ the application identified above.
☐ the patent identified above.

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed on the next page and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☒ no such person, concern or organization exists.
☐ each such person, concern or organization is listed below.

FULL NAME
ADDRESS

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

FULL NAME
ADDRESS

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

FULL NAME
ADDRESS

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

FULL NAME
ADDRESS

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING:

~~Doug Horn~~

Mark A. Ritter

TITLE OF PERSON SIGNING

OTHER THAN OWNER:

~~President~~

Vice President

ADDRESS OF PERSON SIGNING:

1269 Majesty

Dallas, TX 75247

SIGNATURE:

Mark A. Ritter

DATE:

2-28-02



UNITED STATES
PATENT AND
TRADEMARK OFFICE

16041-1025

MAY 08, 2002

PTAS

Under Secretary of Commerce For Intellectual Property and
Director of the United States Patent and Trademark Office
Washington, DC 20231
www.uspto.gov

MICHAEL A. O'NEIL, P.C.
MICHAEL A. O'NEIL
5949 SHERRY LANE, SUITE 1030
DALLAS, TX 75225



102022574A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 03/04/2002

REEL/FRAME: 012668/0684
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
SINGLETON, JOHN MARK

DOC DATE: 02/27/2002

ASSIGNOR:
RITTER, MARK A.

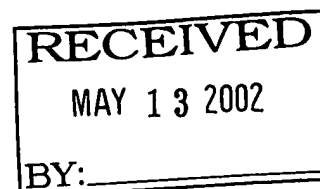
DOC DATE: 02/27/2002

ASSIGNEE:
DALLAS A.C. HORN & CO. D/B/A A.C.
HORN & CO.
1269 MAJESTY
DALLAS, TEXAS 75247

SERIAL NUMBER: 10087008
PATENT NUMBER:

FILING DATE:
ISSUE DATE:

TONYA LEE, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS



03-18-2002

Packet No.: 16041-1025

FORM PTO-1595 (Modified)
(Rev. 03-01)
OMB No. 0651-0027 (exp. 5/31/2002)
P08/REV03



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U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

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To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof

1. Name of conveying party(ies):

J. hn Mark Singleton
Mark A. Ritter

03/04/02

Additional names(s) of conveying party(ies)

☐ Yes ☒ No

2. Name and address of receiving party(ies):

Name: Dallas A.C. Horn & Co. d/b/a A.C. Horn & Co.

Internal Address: _____

Street Address: 1269 MajestyCity: DallasState: TXZIP: 75247Additional name(s) & address(es) attached? ☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other _____Execution Date: February 27, 2002

4. Application number(s) or patent numbers(s):

If this document is being filed together with a new application, the execution date of the application is: February 26, 2002

A. Patent Application No.(s)

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Michael A. O'NeilInternal Address: Michael A. O'Neil, P.C.Street Address: 5949 Sherry Lane, Suite 1030City: DallasState: TXZIP: 752256. Total number of applications and patents involved: 17. Total fee (37 CFR 3.41):.....\$ 40.00☒ Enclosed - Any excess or insufficiency should be credited or debited to deposit account☐ Authorized to be charged to deposit account

8. Deposit account number:

50-0856

(Attach duplicate copy of this page if paying by deposit account)

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Michael A. O'Neil

Name of Person Signing

Signature

March 4, 2002

Date

Total number of pages including cover sheet, attachments, and document: 3

11017 U.S. PTO
10/087008
03/04/02

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03/15/2002 LITTELL 0000121

01 FC-581

ASSIGNMENT

WHEREAS, we, John Mark Singleton and Mark A. Ritter, citizens of the United States of America and residents of Trophy Club, Texas; and Garland, Texas, respectively, have invented certain new and useful improvements in a "DIVERTER FOR DUAL TRACK AIR ASSISTED COLLATOR" for which we are about to make application for United States Letters Patent, the said application having been executed on 2-27-02, and;

WHEREAS, Dallas A.C. Horn & Co., d/b/a A.C. Horn & Co., a corporation of the State of Texas, having offices at 1269 Majesty, Dallas, Texas 75247 (hereinafter referred to as "ASSIGNEE"), is desirous of acquiring my entire right, title and interest in and to the invention, and in and to the said application and any Letters Patent that may issue thereon;

NOW, THEREFORE, for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, we do hereby sell, assign and transfer unto said ASSIGNEE, its successors, assigns, and legal representatives, the full and exclusive right, title and interest in and to the invention and in and to said application and all patents which may be granted therefor, and all divisions, reissues, substitutions, continuations, and extensions thereof; and we hereby authorize and request the Commissioner of Patents and Trademarks to issue all patents for the invention, or patents resulting therefrom, insofar as our interest is concerned, to the said ASSIGNEE of our entire right, title and interest.

We also hereby sell and assign to said ASSIGNEE., its successors, assigns, and legal representatives the full and exclusive rights, title and interest to the invention disclosed in said application throughout the world, including the right to file applications and obtain patents, utility models, industrial models and designs for said invention in its own name throughout the world including all rights of priority, all rights to publish cautionary notices reserving ownership of said invention and all rights to register said invention in appropriate registries; and we further agree to execute any and all powers of attorney, applications, assignments, declarations, affidavits, and any other papers in connection therewith necessary to perfect such rights, title and interest in ASSIGNEE, its successors, assigns and legal representatives.

We hereby further agree that we will communicate to said ASSIGNEE, or to its successors, assigns, and legal representatives, any facts known to us respecting any improvements; and, at the expense of said ASSIGNEE, to testify in any legal proceedings, sign all lawful papers, execute all divisional, continuation, continuation-in-part, reissue and substitute applications, and make all lawful oaths, and generally do everything possible to vest title in said ASSIGNEE and to aid said ASSIGNEE, its successors, assigns and legal representatives to obtain and enforce proper patent protection for the invention in all countries.

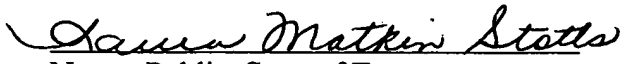
Executed this 27th day of February, 2002.



John Mark Singleton

STATE OF TEXAS §
 §
COUNTY OF DALLAS §

On this 27th day of February, 2002, before me, a Notary Public in and for the State and Country aforesaid, personally appeared John Mark Singleton, known by me to be the person of the above name who signed and sealed the foregoing instrument, and acknowledged the same to be his own free act and deed.


Notary Public, State of Texas

My Commission Expires:




Mark A. Ritter

STATE OF TEXAS §
 §
COUNTY OF DALLAS §

On this 27th day of February, 2002, before me, a Notary Public in and for the State and Country aforesaid, personally appeared Mark A. Ritter, known by me to be the person of the above name who signed and sealed the foregoing instrument, and acknowledged the same to be his own free act and deed.


Notary Public, State of Texas

My Commission Expires:



Docket No.

16041-1025

Declaration and Power of Attorney For Patent Application

English Language Declaration

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled
DIVERTER FOR DUAL TRACK AIR ASSISTED COLLATOR

the specification of which

(check one)

☒ is attached hereto.

☐ was filed on _____ as United States Application No. or PCT International Application Number _____ and was amended on _____

(if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119(a)-(d) or Section 365(b) of any foreign application(s) for patent or inventor's certificate, or Section 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate or PCT International application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Priority Not Claimed

NONE

☐

(Number)

(Country)

(Day/Month/Year Filed)

☐

(Number)

(Country)

(Day/Month/Year Filed)

☐

(Number)

(Country)

(Day/Month/Year Filed)

I hereby claim the benefit under 35 U.S.C. Section 119(e) of any United States provisional application(s) listed below:

<u>NONE</u>	
(Application Serial No.)	(Filing Date)
(Application Serial No.)	(Filing Date)
(Application Serial No.)	(Filing Date)

I hereby claim the benefit under 35 U. S. C. Section 120 of any United States application(s), or Section 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. Section 112, I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, C. F. R., Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

<u>09/617,303</u>	<u>7/17/00</u>	<u>pending</u>
(Application Serial No.)	(Filing Date)	(Status)
		(patented, pending, abandoned)
<u>09/361,549</u>	<u>7/27/99</u>	<u>patented</u>
(Application Serial No.)	(Filing Date)	(Status)
		(patented, pending, abandoned)
<u>08/883,843</u>	<u>6/27/97</u>	<u>patented</u>
(Application Serial No.)	(Filing Date)	(Status)
		(patented, pending, abandoned)

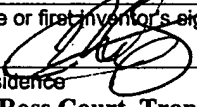
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

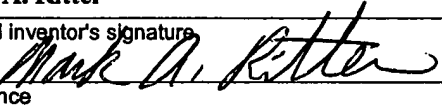
POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. *(list name and registration number)*

Michael A. O'Neil, Registration No. 23,007

Send Correspondence to: **Michael A. O'Neil**
Michael A. O'Neil, P.C.
5949 Sherry Lane, Suite 1030
Dallas, Texas 75225

Direct Telephone Calls to: *(name and telephone number)*
Michael A. O'Neil, 214-739-0088

Full name of sole or first inventor John Mark Singleton	
Sole or first inventor's signature 	Date 2/26/02
Residence #7 Ross Court, Trophy Club, Texas 76262	
Citizenship United States	
Post Office Address same	

Full name of second inventor, if any Mark A. Ritter	
Second inventor's signature 	Date 2/26/02
Residence 3930 Amy, Garland, Texas 75043	
Citizenship United States	
Post Office Address same	